



PATENT  
Customer Number 22,852  
Attorney Docket No.: 7451.0004-02  
InterTrust Ref. No.: IT-6.1.1 (US)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: )  
)  
Karl L. GINTER, et al. )  
)  
Serial No.: 09/632,944 ) Group Art Unit: 2132  
)  
Filed: August 4, 2000 ) Examiner: Not Yet Assigned  
)  
For: TRUSTED AND SECURE )  
TECHNIQUES, SYSTEMS AND )  
METHODS FOR ITEM DELIVERY )  
AND EXECUTION )

Commissioner for Patents  
Washington, DC 20231

**RECEIVED**  
NOV 01 2002  
Technology Center 2100

Sir:

**NOTICE REGARDING RELATED LITIGATION**

Applicants hereby notify the U.S. Patent and Trademark Office that several patents assigned to InterTrust Technologies Corporation ("InterTrust") are involved in litigation. The present application, Serial No. 09/632,944, is a continuation of U.S. Application Serial No. 09/221,479, issued as U.S. Patent No. 6,185,683 B1, which is one of the patents at issue in the litigation. Both of those applications claim the benefit of priory of a common parent with U.S. Patent Nos. 6,389,402 B1; 6,253,193 B1; 5,982,891; 5,949,876; 5,917,912; 5,915,019; and 5,892,900, which are also at issue in the litigation.

**STATUS OF RELATED LITIGATION**

The status of the litigation is as follows. On April 26, 2001, InterTrust filed a Complaint alleging that Microsoft Corporation ("Microsoft") was infringing U.S. Patent No. 6,185,683 B1, assigned to InterTrust. See InterTrust Tech. Corp. v. Microsoft Corp., (C 01-1640 SBA, N. D.

FINNEGAN  
HENDERSON  
FARABOW  
GARRETT &  
DUNNER LLP

1300 I Street, NW  
Washington, DC 20005  
202.408.4000  
Fax 202.408.4400  
www.finnegan.com

Ca.). A copy of the Complaint is attached as Exhibit A. On June 26, 2001 and July 26, 2001, InterTrust amended its complaint to add U.S. Patent Nos. 6,253,193 B1; 5,920,861; and 5,940,504.<sup>1</sup> See Exhibit B.

On August 29, 2001, Microsoft filed its Answer to InterTrust's Second Amended Complaint. See Exhibit C. On September 17, 2001, Microsoft filed a First Amended Answer and Counterclaims, asserting twelve affirmative defenses, including, *inter alia*, non-infringement, invalidity, dedication to the public, prosecution history estoppel, and inequitable conduct, and counterclaiming for declaratory judgments of non-infringement and invalidity of the InterTrust patents, and for infringement of U.S. Patent Nos. 6,049,671 and 6,256,668 B1, allegedly assigned to Microsoft. See Exhibit D.

On October 26, 2001, InterTrust filed a Third Amended Complaint to add U.S. Patent Nos. 5,917,912; 5,892,900; and 5,982,891. See Exhibit E. Microsoft filed its Answer and Counterclaims to InterTrust's Third Amended Complaint on November 8, 2001, see Exhibit F, and filed an Amended Answer and a "Corrected" Amended Answer on November 14 and 15, respectively, see Exhibits G and H, asserting several additional affirmative defenses and counterclaims. See, e.g., *id.* at pages 9 and 13-19.

On February 6, 2002, InterTrust filed a second lawsuit against Microsoft, alleging infringement of U.S. Patent No. 6,157,721 ("the '721 patent"). See Exhibit I.<sup>2</sup> Microsoft filed its Answer and Counterclaims on March 25, 2002, and filed a First Amended Answer and Counterclaims on April 12, 2002, asserting thirteen affirmative defenses, including, *inter alia*, non-infringement, invalidity, dedication to the public, prosecution history estoppel, inequitable

FINNEGAN  
HENDERSON  
FARABOW  
GARRETT &  
DUNNER LLP

1300 I Street, NW  
Washington, DC 20005  
202.408.4000  
Fax 202.408.4400  
www.finnegan.com

---

<sup>1</sup> The '504 patent was subsequently dismissed from this suit.

<sup>2</sup> This case has since been consolidated with the case filed April 26, 2001.

conduct, and unenforceability, and counterclaiming for declaratory judgment of non-infringement and invalidity. *See* Exhibit J. On June 5, 2002, Microsoft served its Initial Disclosures Pursuant to Fed. R. Civ. P. 26(a)(1), identifying various technologies believed by Microsoft to bear on the validity of the '721 patent. *See* Exhibit K.

On July 30, 2002, InterTrust filed a motion for leave to file a Fourth Amended Complaint, adding claims of infringement of additional InterTrust patents. This motion was granted on October 22, 2002. The Fourth Amended Complaint was filed on October 24, 2002, adding to the case claims of infringement of U.S. Patent Nos. 6,112,181; 5,915,019; 5,949,876; and 6,389,402 B1. *See* Exhibit L.

On August 16, 2002, Microsoft served its Preliminary Invalidity Contentions Regarding U.S. Patent Nos. 6,253,193 B1 and 6,185,683 B1 ("Preliminary Invalidity Contentions"). *See* Exhibit M. In its Preliminary Invalidity Contentions, Microsoft asserts that certain claims in those patents are indefinite, lack enablement, and lack an adequate written description. Microsoft also asserts that certain claims are anticipated or rendered obvious by various references. *See id.* at pages 3-7.

### REMARKS

In support of its claim that InterTrust's U.S. Patent Nos. 5,892,900; 5,920,861; and 6,157,721 are unenforceable, Microsoft cites three references: (1) an article entitled DigiBox: A Self-Protecting Container for Information Commerce, by Olin Sibert et al. ("the Sibert article"); (2) PCT Publication No. WO 96/27155 ("the PCT Publication"); and (3) U.S. Patent No. 5,910,987 ("the '987 patent"). Applicants note that the Sibert article was cited in connection with the present application in an IDS filed November 28, 2001. Applicants also note that the PCT Publication is the international counterpart of U.S. Application No. 08/388,107 ("the '107

FINNEGAN  
HENDERSON  
FARABOW  
GARRETT &  
DUNNER LLP

1300 I Street, NW  
Washington, DC 20005  
202.408.4000  
Fax 202.408.4400  
www.finnegan.com

application”), a parent of the present application, and that the ‘987 patent is a continuation of the ‘107 application.

If there are any fees due with the filing of this Notice not already accounted for, please charge the fees to our Deposit Account No. 06-0916

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

Dated: October 30, 2002

By: 

Karna J. Nisewaner  
Reg. No. 50,665

FINNEGAN  
HENDERSON  
FARABOW  
GARRETT &  
DUNNER LLP

1300 I Street, NW  
Washington, DC 20005  
202.408.4000  
Fax 202.408.4400  
[www.finnegan.com](http://www.finnegan.com)

2132

**PLEASE STAMP TO ACKNOWLEDGE RECEIPT OF THE FOLLOWING:**

In re Application of: Karl L. Ginter, et al.

Serial No.: 09/632,944

Filed: August 4, 2000

Group Art Unit: 2132

Examiner: Not Yet Assigned

For: TRUSTED AND SECURE TECHNIQUES, SYSTEMS AND METHODS FOR ITEM DELIVERY AND EXECUTION



**RECEIVED**  
NOV 01 2002  
Technology Center 2100

- Information Disclosure Statement (2 pages)
2. Form PTO-1449 (3 pages)
  3. 48 references
  4. Notice of Pending Litigation (4 pages)
  5. Exhibits A-M

Dated: October 31, 2002

Docket No.: 07451.0004-02000

Attorney: Karna J. Nisewaner

Mail Drop: CA

**NOTICE REGARDING RELATED LITIGATION**

Applicants hereby notify the U.S. Patent and Trademark Office that several patents assigned to InterTrust Technologies Corporation ("InterTrust") are involved in litigation. The present application, Serial No. 09/632,944, is a continuation of U.S. Application Serial No. 09/221,479, issued as U.S. Patent No. 6,185,683 B1, which is one of the patents at issue in the litigation. Both of those applications claim the benefit of priority of a common parent with U.S. Patent Nos. 6,389,402 B1; 6,253,193 B1; 5,982,891; 5,949,876; 5,917,912; 5,915,019; and 5,892,900, which are also at issue in the litigation.

**STATUS OF RELATED LITIGATION**

The status of the litigation is as follows. On April 26, 2001, InterTrust filed a Complaint alleging that Microsoft Corporation ("Microsoft") was infringing U.S. Patent No. 6,185,683 B1, assigned to InterTrust. See *InterTrust Tech. Corp. v. Microsoft Corp.*, (C 01-1640 SBA, N. D.

FINNEGAN  
HENDERSON  
FARABOW  
GARRETT &  
DUNNER LLP

1300 I Street, NW  
Washington, DC 20005  
202.408.4000  
Fax 202.408.4400  
www.finnegan.com